



## **Livestock and Seed Program Audit, Review, and Compliance Branch Quality System Audit Report**

**Applicant:** Rhode Island Department of Environmental Management, Division Of Agriculture and Resource Management  
**Program :** National Organic Program – 2003 Annual Update Report – Desk Audit  
**Location(s):** Providence, RI  
**Audit Date(s):** April and May 2004  
**Audit File Number:** NP3332MA  
**Action Required:** No  
**Auditor(s):** Miguel A. Caceres  
**Contact & Title:** Dan Lawton, Supervisor – Insect Pest and Plant Disease Control  
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### **AUDIT ACTIVITIES**

On April 13 – 14 and May 25, 2004, a representative of the USDA, AMS, LS Audit, Review, and Compliance (ARC) Branch conducted a review of the annual update documents submitted by the Rhode Island Department of Environmental Management, Division Of Agriculture and Resource Management (RI DEM), Providence, RI to verify continued compliance to the USDA, AMS 7 CFR Part 205, National Organic Program (NOP). RI DEM was accredited by the NOP on October 22, 2002 for crops and handling operations. RI DEM certifies applicants to the NOP standards in the state of Rhode Island. The annual update report packet was submitted to the auditor on November 28, 2003.

The following information was submitted for the review:

1. **Certification Files:** 4 files submitted – 3 crops and 1 handling operation.
2. **Annual Program Review:** Completed Rhode Island Certified Organic Annual Program Review Form, dated October 28, 2003.
3. **Performance Evaluations:** Provided for staff members involved in the certification program.
4. **Conflict of Interest Disclosure Reports:** Provided for all staff members as required by section 205.501(a)(11)(v).
5. **Current Certification Activities:** List of certified operations had 10 clients – 9 crops and 1 crops and handling.
6. **Current fee Schedule:** No fees charged for services.
7. **Changes to program:** Changes to program included revising some forms and creating new forms and records in addressing the non-compliances identified during the on-site compliance audit. Additionally, the certification procedures were revised to remove the conflict of interest issue identified during the on-site compliance audit. New certification procedures are in compliance with the NOP standards and are contained in the Organic Certification Program Manual. These revised procedures are addressed in the corrective action report **NP3154MA**.

**Other submissions:** Annual update cover letter dated November 4, 2003; RI DEM Organic Certification Program Manual updated October 22, 2003 – this manual is basically the responses to the annual update report checklist; a letter which lists the other documents enclosed to complete the annual update report, dated November 17, 2003; a complete set of the revised forms; agendas of the RI Organic Certification

Committee Meetings for June and September 2003; Title 2, Chapter 2-1, Part 2-1-1, Section 2-1-10 Authority to Inspect; and the Administrative Inspection Guidelines (no date).

## **FINDINGS**

Documents and records reviewed for the annual update report complied with NOP requirements. All inquiries were adequately addressed prior to report completion and all non-compliances from previous reports were adequately addressed on corrective action report *NP3154MA*.

## **RECOMMENDATIONS**

Based on the review of the submitted annual update report, the auditor recommends continued approval of the Rhode Island Department of Environmental Management as an accredited certifying agent under the National Organic Program.